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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/942,701	08/28/2001	Karur Srinivasan		2917

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Karur S. Rangan
36 ABERFELDY CRES.
THORNHILL, ON L3T-4C2
CANADA

EXAMINER

HO, THE T

ART UNIT	PAPER NUMBER
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2126

DATE MAILED: 12/22/2004

Please find below and/or attached an Office communication concerning this application or proceeding.

Office Action Summary	Applicati n N .	Applicant(s)	
	09/942,701	SRINIVASAN, KARUR	
	Examiner	Art Unit	
	The Thanh Ho	2126	

-- The MAILING DATE of this communicati n appears on the cover sheet with th corresp ndence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 28 August 2001.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1-12 is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 1-12 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on _____ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some * c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. _____.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

* See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- | | |
|---|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892) | 4) <input type="checkbox"/> Interview Summary (PTO-413) |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948) | Paper No(s)/Mail Date. _____ |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08) | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152) |
| Paper No(s)/Mail Date _____ | 6) <input type="checkbox"/> Other: _____ |

DETAILED ACTION

1. This action is in response to the application filed 8/28/2001.
2. Claims 1-12 have been examined and are pending in the application.
3. Applicant cites an article in the application (third to the last paragraph page 2).

The copy of this article is requested by the examiner so it can be fully considered.

Claim Rejections - 35 USC § 112

The following is a quotation of the first paragraph of 35 U.S.C. 112:

The specification shall contain a written description of the invention, and of the manner and process of making and using it, in such full, clear, concise, and exact terms as to enable any person skilled in the art to which it pertains, or with which it is most nearly connected, to make and use the same and shall set forth the best mode contemplated by the inventor of carrying out his invention.

4. Claim 1 is rejected under 35 U.S.C. 112, first paragraph, as failing to comply with the written description requirement. The claim(s) contains subject matter which was not described in the specification in such a way as to reasonably convey to one skilled in the relevant art that the inventor(s), at the time the application was filed, had possession of the claimed invention.

There do not appear to be written descriptions of these limitations:

A. "client side services interact with other client side services without the need to conform to a common client side software, hardware, language or business practice" – (lines 13-15 claim 1).

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The following is a quotation of the second paragraph of 35 U.S.C. 112:

The specification shall conclude with one or more claims particularly pointing out and distinctly claiming the subject matter which the applicant regards as his invention.

5. Claims 2-12 are rejected under 35 U.S.C. 112, second paragraph, as being indefinite for failing to particularly point out and distinctly claim the subject matter which applicant regards as the invention.

A. The following terms lack antecedent basis:

(i). "the process layer", "the rule layer", and "the data naming and mapping restrictions" (lines 4-5 and 17 claim 4). Corrections are required.

(ii). "the interaction process" (lines 2, 13, 24, 29, 30 claim 5); "said software programs" (lines 4 and 14 claim 5); "said executable programs" (lines 19, 24, 26, 28, 29, 31 claim 5); "said data classification names" (line 23 claim 5); "said client servers" (lines 31-32 claim 5). Corrections are required.

(iii). "said business rules" (line 4 claim 6); "said rules layer" (line 7 claim 6). Corrections are required.

(iv). "said data store" (lines 2, 5, 6 claim 7). Corrections are required.

(v). "said log file" (line 3 claim 10). Correction is required.

(vi). "the business intelligence" (line 4 claim 11). Correction is required.

(vii). "said executable programs" (lines 1, 3 claim 12); "said process layer" (lines 6, 9 claim 12); "the interaction party" (line 7 claim 12); "the said server side" (line 8 claim 12); "the receiving party" (line 8 claim 12); "said client server" (lines 9, 10 claim 12); "said client side server" (lines 10, 11 claim 12). Correction is required.

B. The claim language in the following claims is not clearly understood:

(i) it is unclear which services "other related services of this invention" refers to (line 9 claim 3). Correction is required.

C. The applicant recites "The said multitude of client side services of claim 1" (line 1 claim 2), which is an inappropriate dependent because it depends from a method of claim 1. Correction is required.

D. The applicant recites "The said multitude of server side services of claim 1" (line 1 claim 3), which is an inappropriate dependent because it depends from a method of claim 1. Correction is required.

E. The applicant recites "The said business process of claim 5" (line 1 claim 6), which is an inappropriate dependent because it depends from a method of claim 5. Correction is required.

F. The applicant recites "The logics of the said agents of claim 6" (line 1 claim 7), which is an inappropriate dependent because it depends from a process of claim 6, which is in turn depends from a method of claim 5. Correction is required.

G. The applicant recites "The logics for said agents of claim 6" (line 1 claim 8), which is an inappropriate dependent because it depends from a process of claim 6, which is in turn depends from a method of claim 5. Correction is required.

H. The applicant recites "The said agents of claim 6" (line 1 claim 9), which is an inappropriate dependent because it depends from a process of claim 6, which is in turn depends from a method of claim 5. Correction is required.

I. The applicant recites limitations of claim 4 within claim 6 (lines 4 and 6), which is inappropriate because claim 4 is an independent claim of another group of claim. Correction is required.

J. The applicant recites limitations of claim 2 within claim 7 (lines 3 and 5-6), which is inappropriate because claim 2 belongs to another group of claims. Correction is required.

K. The applicant recites limitations of claim 7 within claim 10 (line 3), which is inappropriate because claim 7 belongs to another group of claims. Correction is required.

L. The applicant recites limitations of claims 4-6 within claim 12 (lines 1, 3, 5, 6), which is inappropriate because these claims belong to other groups of claims. Corrections are required.

Claim Rejections - 35 USC § 102

The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

6. Claims 1-12 are rejected under 35 U.S.C. 102(e) as being anticipated by Lipkin U.S Patent No. 6,721,747.

As to claim 1, Lipkin teaches a method of governing the deployment and control of software programs over the internet and intranet to conduct business transactions in a co-operative manner (...integrating the disparate applications, and managing the applications processes in a hardware resource and user effort efficient manner. The automated system of the present invention uses a business systems platform architecture comprised of several unique servers in a base platform to efficiently manage multiple applications which may themselves generally be distributed across a network..., lines 40-48 column 3), comprising:

server side services (services from the servers 5021, 5023..., Fig. 17; tasks required to be performed to complete a designated business transaction, lines 57-60 column 3) employing the server side version of said software programs (application program of servers 5021, 5023..., Fig. 17);

client side services (services provided by beans of client side, lines 39-53 column 31) employing the client side version of the said software programs (application program of client, lines 42-43 column 31);

server side services communicate with one another using the internet or intranet (...communications between these servers may use the XML protocol with each server having services for translating XML into the particular Applications Programming Interface language required by the server and for translating its internal language into XML prior to transmission to another server..., lines 28-61 column 10);

client side services communicate to server side services (clients communicate with the servers via Internet and web server, Fig. 17);

controlling the authentication, deployment and operation of the software programs (...the platform makes use of a collection of Core Services which provide additional security, internationalization services, and reporting services which are applicable to all applications..., lines 48-51 column 3);

client side services interact with other client side services without the need to conform to a common client side software, hardware, language or business practice (...use of metadata allows the system to be configured and otherwise modified by different clients for different deployments, resulting in unique runtime behavior of the system. Object properties that can be customized range from the labels used to display object information, to the type of data validation performed, to the amount of custom information associated with each object..., lines 25-31 column 12; ...clients can be common desktop workstation, laptop computer or smart phone. These clients communicate via internet or web server wherein each client has its own unique applications..., Fig. 17);

client side service employ their own methods of storing their data and viewing details of their business transactions (...the Web Content Server 800 provides a "page engine" 808 which allows users such as developers, consultants and customers to build web content using a separation between Model, Widget, and View instructions. The engine 808 separates data production, interaction elements and display information, and maintains these aspect of page production in different files..., lines 5-11 column 49);

client side services interact with server side services using said software programs (clients communicate with the servers via Internet and web server, Fig. 17).

As to claim 2, Lipkin further teaches storing data locally (bean is automatically saved to the persistent store when it is created by a client application using the create method, lines 13-15 column 32) and accessing external data through storing data locally (...component developer will be responsible for declaring part or all of the attributes of an entity bean as persistent in its deployment descriptor, and then mapping them to fields in a database at deployment time. The interface and mechanism of such mapping would depend upon the application server being used..., lines 7-12 column 32).

displaying and evaluating the information that is stored (users create web content using data stored, lines 62-66 column 48);

client side software to be invoked through interruption and conditions generated by the said means of storage of data and said means of displaying and evaluating information (methods invoked on the beans, lines 45-48 column 28),

client side software to access and modify the means of said storage and means of said display of information (lines 39-58 column 28);

client side service can operate using conditions and interruptions generated by the said data storage and display means, thus minimizing the need for manual intervention (...Web Content Server 800 can also provide the platform's web content generation engine for use by users to create, render, and present web content while improving the dynamic acquisition of data from a variety of sources followed by its reformatting and display via style sheets. Using web standards for XML and XSL, Web Content Server 800 provides a user with a customizable framework for decoupling data

from presentation, and generating web content in a variety of formats, from standard HTML to WML..., line 62 column 48 to line 4 column 49);

client side services can secure the data and business intelligence infringements from external sources, other said client side services and said server side services (...Core Services which provide additional security, internationalization services, and reporting services which are applicable to all applications..., lines 48-51 column 3).

As to claim 3, Lipkin further teaches communicating between server side software and client side software (clients communicate with the servers via Internet and web server, Fig. 17);

communicating between the said server side software and the multitude of server side software (servers interact with each other, Fig. 17);

within network of client side servers, recipient client side servers can be identified and information distributed securely between transacting client side servers (lines 39-53 column 3),

other related services can be provided in a controlled manner (...Core Services which provide additional security, internationalization services, and reporting services which are applicable to all applications..., lines 48-51 column 3).

As to claim 4, Lipkin teaches a method comprising:

software programs, grouped as the process layer (...The Applications layer 507 provides objects and services particular to a given application..., lines 66-67 column 4);

business rules, grouped as the rules layer provide the business logics to run the software programs (...The Core Services layer 503 is a module that provides a set of

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common functionality for enterprise application. It includes services such as security, internationalization, and reporting..., lines 57-60 column 4);

access to stored data in external or local databases, grouped as data layer (...The Platform layer 501 provides underlying infrastructure for enterprise applications, including standards-based functionality for persistence and distributed logic, application integration, content generation, and metadata queries..., lines 53-56 column 4);

software programs refer to information items in the said rules layer by their classified purpose and not by specific data layer names (...interfaces that expose a common set of functionality. Each module therefore consists of several Session bean interfaces. Thus, while SABA implements its managers using Entity beans corresponding to persistent database objects..., lines 7-9 column 5),

business rules refer to the information items and data procedures in the said data layer by specific names, and refer to the information items in the process layer by their data classification name (lines 6-12 column 5),

recognition of data formats and conversion that is required for transmitting information between the layers (...The Accessor 935 is a public service component that is used to extract objects from the source representation and convert them to a Interchange Format..., lines 32-34 column 85);

data naming and mapping restrictions between the information items in the process layer and the rules layer is eliminated (the use of Bean interfaces, lines 6-12 column 5);

software programs in the process layer can work with rules in any of the said rules layers of any other said client side rules layer as long as the required data classifications are mapped (...A component developer will be responsible for declaring part or all of the attributes of an entity bean as persistent in its deployment descriptor, and then mapping them to fields in a database at deployment time. The interface and mechanism of such mapping would depend upon the application server being used..., lines 7-12 column 32).

As to claim 5, Lipkin teaches a method of interactions between client side servers by using computer programs that are created to perform functions related to particular parts of the interaction process (...integrating the disparate applications, and managing the applications processes in a hardware resource and user effort efficient manner. The automated system of the present invention uses a business systems platform architecture comprised of several unique servers in a base platform to efficiently manage multiple applications which may themselves generally be distributed across a network..., lines 40-48 column 3), comprising:

software programs provide functionalities for discovery, negotiate, facilitate, monitor, close, audit and alert phases of the interaction process (multiple core services, column 6),

software programs provide functionalities for creation, propagation and destruction processes for executable programs (...The other three types of relationships entail constraints between the classes being related. For instance, a composition relationship implies commonality of life span, i.e., destroying the "whole" should result in

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destruction of the "components", and an association relationship implies referential integrity constraints, i.e. creating an instance of a class which refers to a non-existent interface of another class is not permitted. In an alternative embodiment, such relationships can be captured through constraints in the database..., line 61 column 29 to line 9 column 30)

creating an executable program to process the objective of a phase by combining one of the programs from the said foundation class and all programs from the origin class (...all business objects that Saba's application server manipulates are derived from a single base class called SabaObject. The SabaObject class provides save, restore, and delete capabilities by implementing the persistence layer architecture. All subclasses of SabaObject then inherit this behavior and rarely if ever override it..., lines 15-20 column 19);

accessing data using said data classification names whereby interaction process end results can be accomplished by said executable programs working in a coordinated fashion without strict control over the sequence in which they are executed, thus giving a flexibility to adapt these said executable programs to different business practices (...upon receiving a request to create an in-memory representation of an object through the "restore ()" method, BDK retrieves the selection statement for that class of objects, binds the variable to the id of the object that is desired to be restored, executes the statement, and fills in an instance-specific hashtable of attribute-value pairs with the values so retrieved..., lines 11-39 column 24),

executable programs can operate bypassing error conditions, and reattempt execution of the said interaction process and not interfere with said executable programs performing other said interaction processes and executable programs can be shared by other interaction processes in other said client servers (lines 11-46 column 24).

As to claim 6, Lipkin further teaches building agents to accomplish end results of various phases of the said interaction process (...generating metadata using an import agent, determining at least one match using a match agent, and dispatching the at least one match or a result associated with the match using a delivery agent. In an aspect of the invention, the metadata may be RDF metadata. In another aspect of the invention, the match agent may determine the match using an RQL query..., lines 16-25 column 2),

combining the executable program with the said business rules to construct said agents (...The Platform services provides the interface and infrastructure for building agents that work in concert to decide what information is delivered, when it is delivered, and how it is delivered..., lines 59-62 column 113) and

agents to access the data in the data layer through the rules in the rules layer (lines 13-22 column 116).

As to claim 7, Lipkin further teaches invoke the agent based on the conditions in the data store, start the agent processing if not already running and update the log files in the data store, update the log tiles with the end result, whereby the log tiles can be

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verified and agent processes can be kept independent of other processes (lines 23-38 column 116).

As to claim 8, Lipkin further teaches verify the log files and allow restart of the agent processing (lines 15-53 column 117).

As to claim 9, Lipkin further teaches verify if active agents have exceeded their run duration, and release resources held by the agent and terminate the agent, whereby processing by other agents can continue without interruption (lines 15-53 column 117).

As to claim 10, Lipkin teaches providing auditing facilities to create audit reports and files of agents of claim specializing in audit (...generating metadata using an import agent, determining at least one match using a match agent, and dispatching the at least one match or a result associated with the match using a delivery agent. In an aspect of the invention, the metadata may be RDF metadata. In another aspect of the invention, the match agent may determine the match using an RQL query..., lines 16-25 column 2), comprising,

a log file (logging functionality that can be used for capturing system state and operations in one or more logs, lines 63-65 column 22),

displaying or printing audit results and reports, whereby the audit records for end results of interaction processes can be created and maintained (...the Web Content Server 800 provides a "page engine" 808 which allows users such as developers, consultants and customers to build web content using a separation between Model, Widget, and View instructions. The engine 808 separates data production, interaction

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elements and display information, and maintains these aspect of page production in different files..., lines 5-11 column 49).

As to claim 11, Lipkin teaches providing secure transmission and reception of information (...The platform makes use of a collection of Core Services which provide additional security, internationalization services, and reporting services which are applicable to all applications. The Core Services are made available to a multitude of common business objects, which themselves are made available to various applications..., lines 48-53 column 3) comprising of:

splitting and encoding messages to pass through the internet (different ways of encoding business logic in EJBs, lines 39-56 column 35) and

decoding and recombining messages whereby the business intelligence is shared only by the intended parties of the transaction process (the use of decoding logic, code table of column 47).

As to claim 12, it is a method claim of claims 1 and 4-6. Therefore, it is rejected for the same reasons as claims 1 and 4-6 above.

Conclusion

Any inquiry concerning this communication or earlier communications from the examiner should be directed to The Thanh Ho whose telephone number is (571) 272-3762. A voice mail service is also available for this number. The examiner can normally be reached on Monday – Friday, 8:30 am – 5:00 pm.

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Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the receptionist whose telephone number is 703-305-3900.

Any response to this action should be mailed to:

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- NON OFFICAL faxes should not be signed, please send to (571) 273 – 3762

TTH
December 10, 2004


MENG-AL T. AN
SUPERVISORY PATENT EXAMINER
TECHNOLOGY CENTER 2100